



ADOA-ASET

Project Investment Justification

Version 03.31.15

A Statewide Standard Document for Information Technology Projects

Project Title:

Discovery Processing System

Agency Name:	Attorney General's Office
Date:	5/1/15
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Agency Contact Phone:	
Agency Contact Email:	

[Hover for Instructions](#)

I. Project Investment Justification (PIJ) Type*

☐ Yes ☒ No Is this document being provided for a Pre-PIJ / Assessment phase?

If Yes,

Identify any cost to be incurred during the Assessment phase.	\$
Based on research done to date, provide a high-level estimate or range of development costs anticipated for the full PIJ.	\$

Explain:

[Click here to enter text.](#)

☐ Yes ☒ No Will a Request for Proposal (RFP) be issued as part of the Pre-PIJ or PIJ?

II. Business Case

A. **Business Problem***

The majority of case discovery data received by the Arizona Attorney General's Office (AGO) is electronic, and it is having a direct impact on how the AGO litigates its cases. Electronic data is delivered in a myriad of formats and mediums. The data must be processed in a manner that will allow us to search and analyze it in a cost effective and timely fashion. The AGO needs a system that can extract data from a variety of mediums and process the native files with any associated metadata into form that is useable in a litigation support system.

B. **Proposed Business Solution***

The AGO intends to implement a Discovery Processing System (DPS) on a dedicated server. The DPS will extract large volumes of Electronically Stored Information (ESI) from hard drives, jump drives, optical disks, and compressed file formats. The DPS will extract and process the data into a single format (generally a tiff image or PDF), and initiate an optical character recognition process, if needed. The proposed system of hardware and software will be able to process large volumes of disparate data, quickly, and make it available for loading into the AGO litigation support system for analysis and trial preparation.

C. **Quantified Benefits***

- | | |
|-------------------------------------|---------------------|
| <input checked="" type="checkbox"/> | Service enhancement |
| <input type="checkbox"/> | Increased revenue |
| <input checked="" type="checkbox"/> | Cost reduction |
| <input checked="" type="checkbox"/> | Problem avoidance |
| <input checked="" type="checkbox"/> | Risk avoidance |

Explain:

Service Enhancement – The proposed system will greatly enhance our ability to process large quantities of relevant case data and improve our chances of obtaining a favorable judgement.

Cost Reduction – The ability to process large quantities of case data in-house will reduce our reliance on State contractors that charge a premium for data processing services.

Problem Avoidance – By processing the data in-house, we can avoid many of the security risks associated with sending confidential data (PII & PHI) to an outside party for processing.

Risk Avoidance – By processing the data ourselves, we can limit potential legal sanctions by ensuring that ESI is properly handled and protected.

III. Technology Approach

A. *Proposed Technology Solution**

Our proposal is to purchase a dedicated Dell PowerEdge R730 server with dual 16-core processors, 64 GB of RAM, 10 Gbs network card, and a hardware RAID controller with local 15K RPM SAS drives. This server hardware profile will provide significant processing power to handle any ESI the AGO has received to date. The DPS software will be eCapture which is produced by IPROTECH (IPRO). eCapture is IPRO's most advanced version of their line of data processing products. eCapture is a distributed-processing system that can effectively manage data sets larger than 1TB. The system can be expanded in the future by adding processing hardware and software licenses. Due to the integrated nature of the workstations and the central controller, manipulation of data volumes is handled programmatically reducing the human error factor.

B. *Existing Technology Environment*

We are currently using the IPRO base product called eScan-It. eScan-It is a low-end ESI processing application. The AGO currently owns a 5 host license that is running in a virtual environment. A single 1 TB processing job can take several days to complete. If a multi-day processing job is interrupted due to a power hiccup or server/process crash, the job must be re-started from the beginning. Although eScan-It has been very beneficial, the limitations of processing speed, functionality, and manual interactions must be improved.

C. *Selection Process*

We researched multiple products online as well entertained a number of sales presentations through the use of conference calls, online web sessions, and live meetings. We discussed and reviewed the various applications with the respective vendors as well as with colleagues who have been working in the litigation support industry for decades. Our decision to use eCapture was based primarily on cost, functionality, and familiarity with the existing IPRO product line.

IV. Project Approach

A. Project Schedule*

Project Start Date: 5/15/2015 **Project End Date:** 10/16/2015

B. Project Milestones

Major Milestones	Start Date	Finish Date
Acquire project hardware and software	5/15/15	6/30/15
Install and configure server	7/20/15	7/31/15
Install and configure eCapture	8/3/15	9/25/15

C. Project Roles and Responsibilities

ISS Director – Report monthly project status to ASET. Authorize orders and approve payments.

Administrative Assistant - Order and receive product. Collect and log invoices.

Systems Engineer – Install and configure server.

Litigation Support Analyst – Project lead. Install, configure, and utilize eCapture.

V. Risk Matrix, Areas of Impact, Itemized List, PIJ Financials

VI. Project Approvals

A. Agency CIO/ISO Review and Initials Required*

Key Management Information	Yes	No	Init
1. Is this project for a mission-critical application system?		X	
2. Is this project referenced in your agency's Strategic IT Plan?		X	
3. Have you reviewed and is this project in compliance with all applicable Statewide policies and standards for network, security, platform, software/application, and/or data/information located at https://aset.az.gov/resources/psp ? If NO , explain in detail in section "VIII. Additional Information" below.	X		
4. Will any PII, PHI, or other Protected Information as defined in the 8110 Statewide Data Classification Policy located at https://aset.az.gov/resources/psp be transmitted, stored, or processed with this project? If YES , the Protected Data section under "VII. Security Controls" below will need to be completed.	X		
5. Will this project migrate, transmit, or store data outside of the agency's in-house environment or the State Data Center? If YES , the Hosted Data section under "VII. Security Controls" below will need to be completed.		X	
6. Is this project in compliance with the Arizona Revised Statutes and GRRC rules?	X		
7. Is this project in compliance with the Statewide policy regarding the accessibility to equipment and information technology for citizens with disabilities?	X		

B. Project Values*

The following table should be populated with summary information from other sections of the PIJ.

Description	Section	Number or Cost
Assessment Cost (if applicable for Pre-PIJ)	I. PIJ Type - Pre-PIJ Assessment Cost	\$0
Total Development Cost	V. PIJ Financials tab	\$42,781.64
Total Project Cost	V. PIJ Financials tab	\$113,653.16
FTE Hours	See Hover text for FTE Hours	80

C. Agency Approvals*

Approver	Printed Name	Signature	Email and Phone
Project Manager:	Dennis Martin		
Agency Information Security Officer:	Angela Alonso		
Agency CIO:	John Abretske		
Project Sponsor:	Leslie Welch		
Agency Director:	Not Required		

VII. Security Controls

Collaboration with the ADOA-ASET Security, Privacy and Risk (SPR) team may be needed to complete this section, which is only required for those projects that involve data that is Protected or Hosted outside of the Agency or State Data Center. Additional information can be found in the NIST FRAMEWORK section under RESOURCES at <https://aset.az.gov/resources/psp> or you may wish to contact ASET-SPR directly at secadm@azdoa.gov for assistance.

A. **Protected Data**

This system will process data that could potentially contain PII and/or PHI. The system will run on a dedicated (non-shared) server located in an AGO secured data center. The actual processing of the data will be conducted by the Litigation Support staff only. All processed data will be classified as “confidential” as described in Policy 8110. Data from this system will not be transmitted to any external location. All personnel involved in the processing of data with the proposed system have cleared a criminal background check and are aware of and shall comply with all related security policies in place at the Office of the Attorney General. Data will be deleted from the system once processing is complete and data has been uploaded into the production AGO litigation support system.

B. **Hosted Data**

☐ Check here if the <https://aset.az.gov/arizona-baseline-security-controls-excel> spreadsheet is attached. Otherwise explain below what information/ support is needed to complete the spreadsheet and/or why no sheet is attached:

Click here to enter text.

☐ Check here if a Conceptual Design / Network Diagram is attached. Otherwise explain below what information/support is needed to complete the diagram and/or why no diagram is attached:

Click here to enter text.

VIII. Attachments

The following are examples of supporting documents that should be sent as email attachments when required:

A. **Vendor Quotes**

1. **SHI eCapture quote.**
2. **Dell server quote.**